

Local ABC System
Compensation and Benefits Survey
Please Return on or before December 1, 2009
To Laurie Lee, NC ABC Commission
4307 Mail Service Center, Raleigh NC, 27699

RECEIVED
NOV 30 2009

NC ABC COMMISSION

Name of ABC System Concord ABC

ABC Employees

1. How many employees does your ABC system have? full-time 18 part-time 19
other _____

2. What are the names, titles, total annual compensation (salaries plus bonuses), benefits (410(k), health, retirement, other) and hire date for the 5 most highly paid employees of your system for the following periods:

Fiscal Year 2009 (July 1, 2008 – June 30, 2009)

NAME Larry Mullis TITLE Supervisor
SALARY \$ 76,765 BONUS \$ 3,203⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 6-1-1969

NAME Lorraine Trexler TITLE Office Mgr
SALARY \$ 57,173 BONUS \$ 2,380⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 7-01-1994

NAME Clyde Klutz TITLE Store Mgr
SALARY \$ 47,104 BONUS \$ 1,966⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 8-2-1993

NAME Edward Neglar TITLE Store Mgr
SALARY \$ 47,104 BONUS \$ 1,966⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 2-01-1995

NAME Cliff Sweet TITLE Store Mgr
SALARY \$ 43,492 BONUS \$ 1,810⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 11-01-1995

Fiscal Year 2008 (July 1, 2007 – June 30, 2008)

NAME Larry Mullis TITLE Supervisor
SALARY \$ 74,169 BONUS \$ 100⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 6-1-1969

NAME Lorraine Trexler TITLE Office Mgr
SALARY \$ 55,233 BONUS \$ 100⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 7-01-1994

NAME Jerry W. Lambert TITLE WHS / Dist. Mgr
SALARY \$ 55,186 BONUS \$ 100⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 5-01-1991

NAME Clyde Klutz TITLE Store Mgr
SALARY \$ 45,286 BONUS \$ 100⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 8-2-1993

NAME Edward Neglar TITLE Store Mgr
SALARY \$ 45,060 BONUS \$ 100⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 2-01-1995

Fiscal Year 2007 (July 1, 2006 – June 30, 2007)

NAME Larry Mullis TITLE Supervisor
SALARY \$ 71,523 BONUS \$ 100⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 6-1-1969

NAME Lorraine Trexler TITLE Office Mgr
SALARY \$ 53,267 BONUS \$ 100⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 7-1-1994

NAME Terry W. Foxbert TITLE Warehouse / Dist Mgr
SALARY \$ 53,217 BONUS \$ 100⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 5-01-1991

NAME Clyde Klutz TITLE Store Mgr
SALARY \$ 43,670 BONUS \$ 100⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 8-2-1993

NAME Edward Neelan TITLE Store Mgr
SALARY \$ 41,753 BONUS \$ 100⁰⁰ BENEFITS Yes ☒ No ☐ HIRE DATE 2-1-1995

3. Please attach a list of the benefits you pay to your 5 highest paid employees.

4. List the names of your board members and their annual board compensation for Fiscal Year 2009

DAN BOONE (Chairman) 2400⁰⁰
Robert Mathis 1800⁰⁰ Dale Carpenter 1800⁰⁰

Fiscal Year 2008

DAN BOONE 1950⁰⁰
Robert Mathis 1800⁰⁰ Alan Carpenter 1800⁰⁰

Fiscal Year 2007

John Baenhardt 1800⁰⁰
Dale Carpenter 1800⁰⁰ Robert Mathis 1800⁰⁰

5. Do your board members receive insurance or retirement benefits? Yes ☐ No ☒ If yes, what are they? _____
6. Do your board members receive other compensation for their service? Yes ☐ No ☒ If so, what? (Gift Card e Christmas)
7. Do you have a travel policy for board members/employees? Yes ☒ No ☐ If yes, when was it instituted? 2006 Please attach a copy.
8. Do you have an ethics policy in place for board members/employees? Yes ☒ No ☐ If yes, when was it instituted? 2006 Please attach a copy.
9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes ☒ No ☐
10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes ☐ No ☒
11. Do you have a nepotism policy in place for board members/employees? Yes ☒ No ☐ If yes, when was it instituted? 2006 Please attach a copy.
12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes ☒ No ☐ If yes, when was it instituted? 2004 Please attach a copy.
13. Do you pay a car allowance for board members/employees? Yes ☒ No ☐ If so, how much is it per year total and who receives it? All employees / Board members that travels for 2008-2009 \$3842⁰⁰ ABC Related Business - (Bank)
14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? 0

Submitted by Name Edward Neelan Title: Office Mgr Date: Nov. 23, 09

3. BENEFITS FOR EMPLOYEES

401K The system contributes 4% of gross salary to each employee's plan

Medical Insurance is paid by the system for employees only

Vacation days (varies upon length of service)

Sick days (1 per month)

NC Retirement plan

Paid holidays (New Years, M.L. King Day, Easter Monday, July 4, Labor Day, Thanksgiving & Christmas)

#1

Official Travel

Travel by a Board member on official business for the City of Concord ABC Board must be approved by two other members of the Board. Travel by the General Manager on official ABC Business must be approved by the Chairman. The General Manager may approve travel for staff who are required to travel on official business.

Transportation expenses for the use of private vehicles on official business shall be reimbursed based on the commonly traveled route consistent with the authorized purpose of the trip. The mileage rate used for reimbursement shall be determined by the Board.

Rental cars may be used by employees authorized for official travel if it will result in a lesser expense or in a substantial savings in time and the use of a rental car is approved in advance. Advance reservations should be made whenever possible and a compact or economy model requested. The traveler is responsible for obtaining the best available rate commensurate with the requirements of the trip. A receipt must be provided for the reimbursement of expenses for rental cars.

Incidental travel expenses such as parking fees, tolls, and baggage handling tips are reimbursable at actual cost.

Transportation tickets for common carriers will be fully reimbursed to travelers (including taxes and any other fees) if they are procured in advance in order to obtain any discounts offered by the carrier. Coach class or any discounted class airfare must be used in the interest of economy. If an employee wishes to upgrade common carrier accommodations for personal reasons, reimbursement will be limited to the lowest published fare for the date of the travel. A receipt for common carrier fares must be provided.

Conference registration fees and conference related meal fees will be fully reimbursed. A receipt for these expenses must be provided.

A meal allowance of forty dollars (\$40.00) per day will be provided to each person traveling a minimum of fifty miles one-way on official Concord ABC Business for more than twelve consecutive hours in that day.

Hotel/motel expenses are reimbursable at actual cost (including taxes and any mandatory fees), and must be substantiated by a receipt. If an individual, by choice, stays at a hotel/motel other than the conference site, allowable room expenses shall not exceed the costs at the conference site. Any charges incurred by a spouse or other person(s) traveling with the individual on official travel are not reimbursable.

Telephone calls pertaining to official Concord ABC business are reimbursable. Other fees incurred for official business are also fully reimbursable (e.g., use of copying machine, sending a fax, etc.)

Travelers with physical disabilities who must use specially equipped or modified vehicles or facilities may claim reimbursement for the expenses incurred by them. The traveler must certify in a statement submitted with the Travel Expense Voucher that he or she incurred higher operating costs. The actual fixed and variable costs must be specified in the statement. (E.g., usual airport limo to hotel \$7.00. My use of special transportation \$12.00)

Upon the completion of official travel, expense claims should be submitted promptly by the traveler – normally within 15 days.

Travel expenses for a Board member for official travel may be reimbursed upon approval by two other Board members. Travel expenses for the General Manager for official travel may be reimbursed upon approval of the Chairman. Travel expenses for all other employees of the Concord ABC Board for official travel may be reimbursed upon approval by the General Manager.

Inclement Weather

Your safety is our primary concern during bad weather. The General Manager will decide when weather conditions are cause for the store to close early, open late or not open at all and will so inform the senior full-time employee who is scheduled to work in each store at that time. That senior employee will inform the other employees scheduled to work that day in his or her store.

The Board recognizes that employees may have varying situations in regard to transportation to and from work. If an employee is scheduled to work on a day when the General Manager does not modify store hours because of the weather, but believes he or she cannot safely travel, the employee will be permitted to use annual or comp leave. The employee should inform the senior full-time employee scheduled to work at that time as soon as possible.

Unacceptable Behaviors

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Your conduct while carrying out your responsibilities as an employee of the Concord ABC Board should be based on common sense and should meet the requirements of a service-oriented, safe work environment. It is not possible to provide a complete list of every type of unacceptable behavior but most employees know what behavior is acceptable in the work environment and what is not. Certain kinds of actions or conduct are obviously unacceptable and you can expect to be disciplined or discharged for engaging in them. To provide employees some guidance, the following are some examples of types of conduct that are considered unallowable and can result in disciplinary action, including immediate discharge:

1. Willful disregard of the policies of the North Carolina Alcoholic Beverage Control Commission or of the City of Concord ABC Board
2. Violation of any law pertaining to alcoholic beverage control.
3. Theft, pilferage or unauthorized removal of store property, or property belonging to other employees.
4. Reporting to work under the influence of alcohol.
5. Reporting to work under the influence of lawfully used drugs when it interferes with the performance of work duties or the safety of yourself, fellow-employees, customers or other visitors to our facilities.
6. The current illegal use of drugs or the unlawful possession, distribution or sale of drugs.
7. Rude, disrespectful or inappropriate behavior toward a customer or another employee.
8. Willful falsification of any store timekeeping record.
9. Repeated absence or tardiness; failure to report to work without satisfactory reason or leave work before quitting time without permission of the manager or the person in charge.
10. Willful or negligent failure to perform duties, insubordination, failure to cooperate with fellow workers, conviction of a crime involving moral turpitude, conduct prejudicial to the business of the Concord ABC Board that may cause the business to be held in disrepute.
11. Fighting .
12. Horseplay that interferes with the performance of work or endangers a fellow-employee or visitor to the Board's facilities.
13. Harassment or discrimination against another employee, customer or visitor to our facilities.
14. Bringing prohibited weapons onto property owned or leased by the Board.

Disciplinary Policy

The purpose of disciplinary action is to help employees remember the importance of acceptable levels of behavior and performance. If your work or conduct falls below acceptable standards or you do not follow rules, policies or procedures, you may be subject to disciplinary action. The Board may utilize

assistance on their own may contact the Alcohol/Drug Council of North Carolina at 1-800-688-4232 for a referral.

Current illegal users of drugs are subject to disciplinary action which may include immediate discharge. In addition, any employee who engages in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance will be subject to appropriate disciplinary action, including discharge.

Conflicts of Interest

No member or employee of the Concord ABC Board shall be related by blood or marriage, to the degree of first cousin or closer, to any person who has or controls, directly or indirectly, a financial interest in any commercial alcoholic beverage enterprise, including any business required to have an ABC permit. The North Carolina ABC Commission may grant an exemption when the financial interest in question is so insignificant or remote that it is unlikely to affect the person's official actions in any way.

#9 < No employee of the Concord ABC Board may accept a gift of value from any person interested in doing business with the Board. The purpose of this rule is to avoid undue influence or even the appearance of undue influence on employees in carrying out their duties and responsibilities. For the purpose of this paragraph, a gift of value does not include inexpensive advertising novelties such as pen knives, caps, T-shirts, shot glasses and the like which bear advertisements.

Smoking

Smoking is allowed only in designated smoking areas.. Each store manager will specify the designated smoking area for his or her store and communicate that information to employees. There will be no smoking in the customer area of any of the stores. Smoking will not be allowed in any area where it would create a hazard or where smoking would be unsafe.

Phone Calls

Occasionally it may be necessary to make or receive a personal call during business hours. Employees should keep personal calls to a minimum so that phone lines remain open for business. Employees should reimburse the Board for any personal toll or long-distance calls made on the Board's telephones. The use of personal cellular phones should not be allowed to interfere with the performance of duties, especially in regard to customer service.

Equal Opportunity

The City of Concord ABC Board is, by choice, an equal opportunity organization. In addition, there are many federal and state laws that govern the protections, privileges and responsibilities of employers, employees, vendors, clients and

other visitors to our facilities. The Board will fully implement the protections granted by law and will support our employees and others in the pursuit of their legal rights as specified in those laws. We expect you to cooperate and support our policy of equal opportunity. Discrimination by or against fellow employees, supervisors, customers, vendors or other individuals visiting our facility, because of their race, religion, color, sex, national origin, citizenship, age, disability, marital status, military status, veterans status, sexual orientation, or because of any other personal characteristic is strictly prohibited.

As a part of its policy of equal opportunity, the Concord ABC Board is an Equal Opportunity Employer and will administer all personnel practices without regard to race, color, religion, sex, age, national origin, citizenship, disability, veteran status, military status or any other category that may be protected under applicable law. This policy applies to every aspect of employment, including recruitment, selection, promotion, transfer, training, compensation, reduction in workforce and termination. It is the Board's intention to maintain a working environment free of discrimination of any kind.

Discrimination and harassment, including sexual harassment or harassment because of opposition to job discrimination or participation in an investigation or complaint proceeding under EEO statutes, by or against managers, fellow employees, customers, vendors or other visitors to our facilities is strictly prohibited and will not be tolerated. Harassment involves verbal or physical conduct that denigrates or shows hostility or aversion toward persons (or those persons' relatives, friends, or associates). Harassment is defined as activity that:

- has the purpose or effect of creating an intimidating, hostile, or offensive work environment
- has the purpose or effect of unreasonably interfering with an individual's work performance, or
- otherwise adversely affects an individual's employment opportunities.

If you are subjected to such discrimination or harassment, or are aware of a violation of this policy, report it immediately to your Store Manager, any other manager or to the General Manager. Delay creates the potential of letting the situation get out of hand and subjects you unnecessarily to an unpleasant work situation. We assure you that we will not tolerate any retaliation against you for bringing the situation to management's attention.

We take our policy of equal opportunity very seriously. You should be aware that your failure to observe this policy will result in disciplinary action up to and including termination.

Sexual Harassment

Sexual harassment is unwelcome conduct of a sexual nature when submission to such conduct is made a term or condition of employment, or where submission to

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CITY of CONCORD ABC BOARD SALARY

Concord ABC Board has salary ranges for each job description. The salaries are subject to change based upon the Boards "approval" of a cost-of-living adjustment.

Pay increases are in 1/2% increments. New employees and those promoted to higher positions will receive evaluations and increases (if merits) each 6 months until that employee reaches step 40. After step 40, employees will be evaluated and salary increases granted annually. These increases are the final approval of the Concord ABC Board.

After employees reach step 94 of the pay scale, the annual salary remains, except for a cost-of-living adjustment. At this time, employees will receive an annual evaluation and a lump sum performance compensation based on the evaluation score. Concord ABC feels that even though the employee is at the top of the pay scale, this places value of the position, service and employee.

This policy was adopted from the City of Concord. It is followed as closely as possible due to differences in positions and responsibilities. This policy became effective July 2004, voted on by board members.

Annual Pay Scale effective 2009

<u>CLERK</u>	<u>STORE MGR</u>	<u>OFFICE MGR</u>	<u>WHS/DIST MGR</u>	<u>SUPERVISOR</u>
\$24,903.97	30,359.60	31,886.01	35,196.84	49,723.09

Name of ABC System COOLEEMEE ABC BOARD

NAME LISA B DANIEL TITLE SALES ASSOCIATE
SALARY\$ 16,272.96 BONUS \$ ---- BENEFITS Yes ☒ No ☐ HIRE DATE 10-04-2002

NAME TERRY D LEONARD TITLE SALES ASSOCIATE
SALARY\$ 1,241.00 BONUS \$ ---- BENEFITS Yes ☒ No ☐ HIRE DATE 05-29-2007

NAME _____ TITLE _____
SALARY\$ _____ BONUS \$ _____ BENEFITS Yes ☐ No ☐ HIRE DATE _____

3. Please attach a list of the benefits you pay to your 5 highest paid employees.

HEALTH INSURANCE AND RETIREMENT

4. List the names of your board members and their annual board compensation for Fiscal Year 2009

<u>WILLIAM BOWEN</u>	<u>\$ 960.00</u>	<u>GRIMES PARKER</u>	<u>\$ 960.00</u>
<u>LEON O'NEAL</u>	<u>\$ 160.00</u>	<u>JERRY SPRY</u>	<u>\$ 800.00</u>

Fiscal Year 2008

<u>WILLIAM BOWEN</u>	<u>\$ 960.00</u>	<u>GRIMES PARKER</u>	<u>\$ 960.00</u>
<u>JERRY SPRY</u>	<u>\$ 960.00</u>		

Fiscal Year 2007

<u>WILLIAM BOWEN</u>	<u>\$ 960.00</u>	<u>GRIMES PARKER</u>	<u>\$ 960.00</u>
<u>JERRY SPRY</u>	<u>\$ 960.00</u>		

5. Do your board members receive insurance or retirement benefits? Yes ☐ No ☒ If yes, what are they? _____
6. Do your board members receive other compensation for their service Yes ☒ No ☐ If so, what? SEE QUESTION #4
7. Do you have a travel policy for board members/employees? Yes ☒ No ☐ If yes, when was it instituted? _____ Please attach a copy. HAS BEEN IN PLACE FOR YEARS
8. Do you have an ethics policy in place for board members/employees? Yes ☒ No ☐ If yes, when was it instituted? _____ Please attach a copy.
9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes ☒ No ☐
10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes ☐ No ☒
11. Do you have a nepotism policy in place for board members/employees? Yes ☐ No ☒ If yes, when was it instituted? _____ Please attach a copy. SEE Employee MANUAL
12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes ☐ No ☒ If yes, when was it instituted? _____ Please attach a copy. See Employee MANUAL
13. Do you pay a car allowance for board members/employees? Yes ☒ No ☐ If so, how much is it per year total and who receives it? MANAGER 55¢ PER MILE
14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? 2,552.00

Submitted by Name CAROLYN W OVERCASH Title: MANAGER Date: 11/30/09

Cooperme ABC BOARD 155

COOLEEMEE ABC BOARD

William D. Bowen Chairman
Grimes Parker, Member
Leon A. O'Neal, Member
James Helmstetler, Advisor
Carolyn Overcash, Manager

7768 NC Highway 801 South
Post Office Box 575
Cooleemee, NC 27014
336-284-4106
cooleemeeabc@yadtel.net

Note: No Board Member, Supervisor or Employee has a phone, car, or credit card furnished by the ABC Board. However, the manager is authorized to make purchases for the Cooleemee ABC Retail outlet to facilitate the smooth running operation of the outlet. Unusual purchases are cleared by Board member(s).

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10 Board members will not receive gifts such as entertainment tickets, bottles of alcohol, goods or services. Industry members can not pay for meals or other travel expenses.

The Cooleemee ABC Board will comply when informed by appropriate sources of new or changed legislation, laws, rules and regulations that affect the ABC System when they become active in North Carolina.

The precluding information may be amended or altered by a majority vote of the board members present at any regular or special meeting called for that purpose.

Respectfully,

 12/09
William D. Bowen, Chairman
Cooleemee ABC Board

COOLEEMEE ABC BOARD

William D. Bowen Chairman
Grimes Parker, Member
Leon A. O'Neal, Member
James Helmstetter, Advisor
Carolyn Overcash, Manager

7768 NC Highway 801 South
Post Office Box 575
Cooleemee, NC 27014
336-284-4106
cooleemeeabc@yadtel.net

Cooleemee ABC Board Member Information and General Guidelines

Cooleemee ABC Board Members are appointed by the Commissioners of the Town of Cooleemee for the purpose of establishing and overseeing the operation of an Alcoholic Beverage Control Retail Store in Cooleemee, North Carolina. The Board encourages the enforcement and observance of all laws, rules and regulations governing the operation of the Cooleemee Alcoholic Beverage Control Board. It also encourages the enforcement and observance of all laws, rules and regulations relative to alcoholic beverages.

The Cooleemee ABC Board administers the Cooleemee ABC Board Personnel Policy that was ratified On March 29, 1999.

The Cooleemee ABC Control Board will cooperate at all times with, and render any and all services possible to, the North Carolina ABC Commission and all Federal, State, County and local agencies charged with control, sale or taxation of alcoholic beverages.

Salaries and term limits for Cooleemee ABC Board Members are set by the Cooleemee Town Board. The retail outlet pays the cost of the salaries. Board members salaries include a deduction for social security per Federal Regulations.

Regular or special meetings are held at the Board's discretion.

Liability insurance related to the business operations for the Cooleemee ABC Board, the employees and the retail store are provided and paid for by the business operations of the retail store.

⑦ Only One regional or state business meeting expenses per year will be reimbursable for those Board Members that choose to attend the one approved meeting. Upcoming member attendance will be voted upon and a daily limit may be imposed.

⑦ Members will submit a Cooleemee Alcoholic Beverage Control Board Expense Voucher with accompanying receipts to the CPA for reimbursement

Cravats, per the Expense Voucher, include-- but this list may not be complete:
Room payments and meal payments are for the Board member or supervisor only--no guests. Receipts must be provide to the CPA for reimbursement.

Only direct mileage is reimbursable while board members or the supervisor are performing necessary duties or attending regional state meetings.

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DEC 02 2009

NC ABC COMMISSION

COOLEEMEE ABC BOARD
7768 NC Highway 801 South
Post Office Box 575
Cooleemee, N.C. 27014
336-284-4106

Robert D. Amos, Chairman
Bill Bowen, Member

Jerry Spry, Member
Jim Helmstetter, Manager

Cooleemee ABC Board Policy Manual

INTRODUCTION

**This policy manual has been prepared to explain
personnel rules and regulations set forth for use by
the Cooleemee ABC Board.**

**If changes in operations or regulations take place,
it may become necessary to modify or amend
these rules and regulations.**

**If there are rules or regulations that are not clear to
you, please ask the Cooleemee ABC manager
for an explanation.**

Cooleemee Alcoholic Beverage Control Board

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DEC 02 2009

NC ABC COMMISSION

PERSONNEL POLICY MANUAL

AND

GENERAL INFORMATION

FOR

COOLEEMEE

ALCOHOLIC BEVERAGE CONTROL BOARD

COOLEEMEE, NORTH CAROLINA

**Cooleemee Alcoholic Beverage Control Board
Personnel Resolution**

Be it resolved by the Cooleemee Alcoholic Beverage Control Board that the following rules and regulations shall govern the appointment, classification, salary, promotion, dismissal, and conditions of employment of the employees of the Cooleemee Alcoholic Beverage Control Board.

Article 1. The Personnel System

Section 1. Definition.

Wherever used in these rules and regulations, the term "ABC Board" or "Board" will be synonymous with and refer to the Cooleemee Alcoholic Beverage Control Board.

Section 2. Merit Principle.

All appointments and promotions of employees subject to the authority of the Board shall be made solely on the basis of merit and fitness. All positions requiring the performance of the same duties and fulfillment of the same responsibilities shall be assigned to the same class and the same salary range.

Section 3. Responsibility of Board.

The Board shall be responsible for the administration of the following personnel policies and rules which shall apply to all appointed employees except those specifically exempt.

Section 4. Applicability.

The provisions of this Resolution shall be applicable to all employees except members of the Alcoholic Beverage Control Board.

Article II. The Classification Plan

Section 1. Adoption of the Plan.

The attached position classification plan shall be the classification plan of the ABC Board.

Section 2. Coverage of the Classification Plan.

This classification plan shall include all permanent classes of positions in the service of the ABC Board.

Section 3. Allocation of Positions.

The Board shall allocate each position covered by the classification plan to its appropriate class in the position classification plan.

Section 4. Maintenance of Classification Plan.

The Board shall be responsible for the administration and maintenance of the position classification plan. The Manager shall be responsible for bringing to the attention of the Board (1) the need for new positions, and (2) material changes in the nature of duties, responsibilities, working conditions, or other factors affecting the classification of any existing position.

New positions shall be established only by the Board after which it shall either (1) allocate the new position to the appropriate class within the existing classification plan, or (2) amend the position classification plan to establish a new class to which the new position may be allocated.

When the Board finds that a substantial change has occurred in the nature or level of duties and responsibilities of an existing position, it shall (1) revise the existing class specification, (2) reallocate the position to the appropriate class within the existing classification plan, or (3) amend the position classification Plan to establish a new class to which the position may be allocated.

Section 5. Amendment of Classification Plan

Classes of positions shall be added to and deleted from the position classification plan by action of the Board.'

ARTICLE III. THE SALARY PLAN

Section 1. Coverage of Salary Plan.

The salary plan shall include all permanent classes of positions in the classification plan.

Section 2. Maintenance of Salary Plan.

The Board shall be responsible for the administration and maintenance of the salary plan. Each year, based on recommendations by the General Manager and the general financial conditions, the Board shall make such increases or amendments of the salary plan as it deems necessary to maintain the fairness and adequacy of the salary plan.

Section 3. Transition To New Salary Plan.

The following three principles shall govern the transition to a new salary plan.

No employee shall receive a salary reduction as a result of the transition to a new salary plan.

All employees being paid at a rate lower than the minimum rate established for their respective classes shall have their salaries raised to the new minimum for their classes.

All employees being paid at a rate above the maximum rate established for their respective classes shall remain at their present salaries as long as the maximum rate is below the employees' present salaries.

Section 4. Entrance at the Minimum.

Each new employee shall be appointed at the minimum salary which has been established for the classification in which he is employed except: (1) if the new employee does not meet the minimum requirements of the position and qualified applicants for the position are not available, the Board may designate the employee as a "trainee" to be appointed at a salary below the minimum; (2) when the Board shall determine that there has been a demonstrated inability to recruit at the minimum salary or that an applicant possesses exceptional qualifications, it may authorize the employment of an applicant at a higher rate than the minimum in the salary range.

Section 5. Salary of Trainee.

A new employee who does not meet all of the established qualifications for a position may be appointed with the approval of the Board at a training salary below the minimum salary established for the position. The employee shall continue to receive a reduced salary during a probationary period until the General Manager with the approval of the Board shall determine that the trainee is qualified to assume the responsibilities of the position, or until the end of that probationary period when the employee is either discharged or moved to a listed rate in the salary range established for the position.

Section 6. Earned Salary Increases.

Salary increases above the minimum established for such class of positions may be granted by the Board. The Board may each year provide funds for earned salary increments. Salary increments shall be effective only upon the recommendation of the General Manager and with the approval of the Board.

Section 7. Annual Longevity Payments.

All permanent employees of the Board are eligible for annual longevity payments to be made during the first half of the month of December. Years of service will be determined as of hire date of the year in which the longevity payment is made. Annual longevity payments will be based on the basic annual salary of the employee as of December 31 of the year in which the longevity payment is made, except for an employee who has less than one (1) year's service.

Section 8. Salary of Part-time or Temporary Employee.

The pay plan established by this Resolution is for full-time service. An employee may be appointed for less than full-time service shall be paid at an hourly rate approved by the Board.

Section 9. Pay Periods.

All salaried employees shall be paid bi-weekly for eighty (80) hours.

Section 10. Overtime.

No overtime shall be paid to any salaried employee including the General Manager.

Section 11. Effective Date of Salary Adjustments.

Salary adjustments approved by the Board shall become effective at such specific date as may be provided by the Board.

Article IV. Appointment and Dismissal

Section 1. Appointment.

The Board shall appoint all employees except otherwise provided by law.

Section 2. Probationary Period.

All employees shall serve a probationary period to be determined by the Board based on the employee's application, qualifications and experience. A new appointee may be dismissed at any time during the probationary period if the Board determines that the employee is incapable of doing his assigned duties satisfactorily.

Section 3. Dismissal.

A permanent employee whose work is not satisfactory over a period of time shall be notified in what way his work is deficient and what he must do is his work is to be satisfactory. A permanent employee may be dismissed by the Board if he fails to perform work up to the standard of the classification which he holds or is guilty of any of the following acts:

- (a) fraud in securing appointment,
- (b) incompetency or inefficiency,
- (c) failure to perform assigned duties,
- (d) inexcusable neglect of duty,
- (e) insubordination,
- (f) dishonesty,
- (g) drinking or drunkenness while on duty,
- (h) addiction to the use of narcotics or habit-forming drugs,
- (i) inexcusable absence without leave,
- (j) conviction of a felony, or conviction of a misdemeanor involving moral turpitude,
- (k) discourteous treatment of the public or other employees,
- (l) improper political activity,
- (m) willful disobedience,
- (n) misuse of Board property,
- (o) acts during or outside of duty hours which are incompatible with the public service,
- (p) willful disregard of State ABC Commission laws or policies or Board policies.

When an employee is discharged, the Board shall provide the discharged employee with a notice of the discharge.

Article V. Conditions of Employment

Section 1. Applicability of Article.

The provisions of this Article shall be applicable to all employees except those exempted. The benefits provide by this Article shall be for full-time permanent employees.

Section 2. Work Week.

Employees shall work those hours necessary to assure the satisfactory performance of their employment. No employee will work more than 80 hours per pay period.

The General Manager shall work those hours necessary to assure the satisfactory performance of managerial duties.

Salaried employees will be paid for 80 hours per pay period.

Section 3. Overtime.

No overtime will be paid.

Section 4. Vacation leave.

(a) Vacation earned.

Each full-time employee shall earn vacation as follows:
One (1) vacation day per calendar month of service.

(b) Granting of Vacation leave.

Employees shall be granted the use of earned vacation leave upon request or at those times designated by the General Manager which will least obstruct normal operations of store. Vacation leave must be taken in whole days only.

© Vacation Leave Accumulation.

Vacation leave may accumulate to a maximum of 30 days. When the maximum has been accumulated, vacation leave will continue to be earned, but any accumulation over the maximum will be forfeited as vacation pay..

(d) Terminal Pay.

Upon submission of his resignation, an employee shall be paid for vacation leave accumulated to the date of separation provided he has completed six or more months of continuous service and provided he has submitted notice to the General Manager at least two weeks in advance of the effective date of resignation. An employee who is involuntarily separated without fault or delinquency on his part shall be paid for vacation leave accumulated to the date of separation. Compensation for accumulated vacation leave shall not be paid an employee separated for reasons of fault or delinquency or who does not submit the required notice. Upon the death of a permanent employee, compensation for accumulated vacation leave shall be paid to his estate.

(e) Previous vacation leave credit.

Vacation leave credits accumulated by each employee as of the effective date of this Resolution shall be retained by the employee until used in accordance with the provisions of this Resolution.

Section 5. Sick leave.

(a) Sick leave is a privilege.

(b) Sick leave earned.

Each full-time employee shall earn sick leave at the rate of one (1) working day per full calendar month of service.

© Granting of sick leave.

An employee may be granted sick leave from work with pay if his absence is due to sickness, bodily injury, quarantine, required physical or dental examinations or treatment, exposure to a contagious disease when continued work might jeopardize the health of others.

(d) Physician's certificate.

The General Manager may require a physicians's certificate as to the nature of the illness and as to the employee's physical capacity to resume his duties for each occasion on which an employee uses sick leave. The General Manager shall be responsible for the application of this provision to the end that (1) employees shall not be on duty when they might endanger their health or the health of other employees, and (2) there will be no abuse of sick leave privileges.

(e) Sick leave accumulation.

Sick leave shall be cumulative with no limit on the maximum accumulation.

(f) Credit for accumulated sick leave.

Employees who retire, resign in good standing, or are dismissed from employment because of reduction in force, and are reinstated within five (5) years shall be credited with their previously accumulated sick leave. Employees who are dismissed from employment for reasons other than reduction in force, and employees who are not reinstated within five (5) years, shall lose all sick leave credit. No employee shall be paid for accumulated sick leave. Accumulated sick leave may be used towards added service retirement for employees under the North Carolina Local Governmental Employee's Retirement System.

(g) Previous sick leave credit.

Sick leave credits accumulated by each employee as of the effective of this Resolution shall be retained by the employee until used in accordance with the provisions of this Resolution.

Section 6. Holidays.

All employees shall receive time off for the following holidays:

New Year's Day, Easter Monday, Memorial Day, Independence Day,
Labor Day, Thanksgiving Day, and Christmas Day.

If the holiday falls on Sunday, the following Monday will be observed as a holiday.

Salaried employees whose regular day off falls on an observed holiday will not receive additional time off.

Section 7. Insurance.

Upon satisfactory completion of probation period by employee, the Board shall provide group health insurance to all full-time permanent employees. Employees shall be enrolled in the program in accordance with the provisions of the insurance contracts.

Section 8. Local Governmental Employee's Retirement System.

Each employee shall be required to join the Local Governmental Employees' Retirement System as a condition of employment.

Section 9. Compulsory Retirement.

Excluding disability or voluntary earlier retirement, each employee shall be retired on June 30 following his 70th birthday; provided that, subject to the annual approval of the Board such employee may be granted one-year extensions in service thereafter. Such approval shall be based upon the recommendation of the employee's department head and upon the findings of a medical examiner designated by the Board.

Section 10. Grievance Procedure.

The prompt settlement of misunderstandings or problems on an informal basis at the work level is desirable and in the interests of sound employee-management relations. Whenever any employee considers himself aggrieved, he shall have the right to discuss the matter with his immediate supervisor. A grievance is any cause of dissatisfaction outside an employee's control which grows out of employment with the Board. The supervisor shall make every effort to solve the problem or correct the misunderstanding at this level. If the issue cannot be resolved, the employee may then request through his or her supervisor that the matter be brought before the Board for a hearing and disposition.

Section 11. Strikes and Work Stoppages.

Strikes and work stoppages by ABC Board employees will not be permitted. Attempted instigation of, participation in, or giving leadership to a strike or work stoppage shall constitute grounds for disciplinary action up to and including dismissal.

Infractions of work rules including unauthorized absences from work shall be grounds for disciplinary action up to and including dismissal.

Article VI. Conflict of Interest and Political Activity

Section 1. Applicability of Article

The provisions of this article shall be applicable to all employees except those exempted.

Section 2. Outside Employment

The work of the Board shall have precedence over the other occupational interest of employees. All outside employment for salary, wages or commissions and all self-employment must be reported to and approved by the Board. Conflicting outside employment shall be grounds for dismissal or other disciplinary action.

Section 3. Political Activity Restricted

Every employee has a civic responsibility to support good government by every available means and in every appropriate manner. Each employee may join or affiliate with civic organization of a partisan or political nature, may attend political meetings, may advocate and support the principles or policies of civic or political

organization in accordance with the Constitution and laws of the State of North Carolina and in accordance with the Constitution and laws of the United States of America.

However, no employee shall (1) engage in any political activity while on duty, (2) be required as a duty of his office or employment, or as a condition for employment, promotion, or tenure of office, to contribute funds for political or partisan purpose, (3) solicit, or act as custodian of, funds for political or partisan purpose,, (4)coerce or compel contributions for political or partisan purposes, or (5) use any supplies or equipment for political purposes. Any violation of this section shall be deemed improper conduct and shall subject such employee to disciplinary action by the Board.

Article VII. Equal Opportunity Employment

It is the policy of the Cooleemee ABC Board that all persons are entitled to equal opportunity employment and that no employee or applicant for employment will be discriminated against because of race, color, religion, sex, national origin, political affiliation, or physical handicap.

Article VIII. Miscellaneous Rules and General Information

Section 1. Customer Approach. From an article "A Service to the Public"

"To deserve the goodwill of the public is of the upmost importance. Clerks should give customers their undivided attention. Customers must be waited on promptly and pleasantly.

Should a customer be difficult in his attitude, always remain courteous and patient. If situations arise which you cannot handle, call the store manager before such incidents get out of control. Tact and courtesy are necessary attributes to cultivate."

Section 2. Sale to, or Purchase by a Minor Prohibited by Law.

State law prohibits the sale of alcoholic beverages to a minor or the purchase of alcoholic beverages for or by a minor. Employees should always protect themselves by requiring identification and proof of age. Employees are subject to prosecution if they should sell to a minor.

If an employee has reason to believe an adult is purchasing alcoholic beverages for a minor, he or she should refuse to sell to the customer and immediately inform the supervisor of this action. By law, an employee can refuse to sell to anyone. This is to protect the employee.

The Cooleemee ABC Board considers one of the most important instructions to employees is to prevent sales of alcoholic beverages to or for the use by minors.

Section 3. Sale to, or Purchase by An Intoxicated Person Prohibited by Law.

A sale to anyone visibly intoxicated is prohibited. Employees must be alert to their responsibility in this respect, and be able to recognize the person who has had too much to drink. Employees should refuse a sale if it could be a violation of the law.

Section 4. Security.

Deposits will be made by ABC Board employees in a manner directed by the ABC Board. Time, method, etcetera are not to be made public in the interest of security.

Section 5. Personal Appearance.

Employees are expected to present a clean, neat, well-groomed appearance at all times.

Section 6. Requests for Information

All requests for information from the general public or news media concerning sales, policies, or personnel shall be directed by employees to the Manager.

Employees are prohibited from discussing ABC operations, identity of customers, or purchases of customers with any person not directly affiliated with the Cooleemee ABC Board.

Requests for employee information must be made in writing and will be presented by the Board at the next regularly scheduled meeting of the Board.

Section 7. Customer Complaints.

All customer complaints shall be referred to the General Manager.

Section 8. Housekeeping.

Good housekeeping is part of each employee's job.

Section 9. Work Schedules.

All employees are expected to be prompt in reporting for duty. Employees should be cooperative at times when it is necessary to adjust duty hours due to unusual circumstances. In case of emergency, when an employee cannot report on time, the manager should be notified as soon as possible so adequate personnel coverage of the store can be arranged.

Section 10. Solicitations.

Solicitations are prohibited on the premises of the ABC Store.

Section 11. Telephone Calls

ABC telephones are for business use. Personal calls will be held to a minimum.

Article IX. Declarations: Effective Date

Section 1. Declarations: Effective Date.

Cooleemee ABC Board hereby declares:

- (a) That should any section, paragraph, sentence or word of this resolution be declared for any reason invalid, it is the intent of the Cooleemee ABC Board that such body would have passed all other portions of this resolution independent of elimination herefrom of any such portion as may be declared invalid.
- (b) That this resolution shall take effect and be in force from and after the date of its ratification.

Ratified this _____ day of _____, 1999.

***Robert Amos, Chairman
Cooleemee ABC Board***

Bill Bowen, Member

Jerry Spry, Member

Cooleemee Alcoholic Beverage Control Board Position Classifications

Cooleemee ABC Board

General Manager

Chief Store Clerk

Store Clerk

Accountant*

*Note: the notes on the position of accountant are just a general guide line, since the Cooleemee ABC Board has elected to hire an outside CPA to handle the bookkeeping and accounting duties for the Board.

GENERAL MANAGER

General Statement of Duties:

Performs responsible supervisory work required in the managing and operating of an ABC Store.

Distinguishing Features of the Class:

An employee in this class is responsible for the operation of the ABC Store. Work includes supervising employees, ordering supplies, checking prices and code numbers on merchandise, and making the daily deposits. Employee must be able to deal tactfully and effectively with municipal officials, ABC Board members, and the public in resolving customer's problems inquiries and complaints. Considerable independent judgement and initiative are required in applying local, state, and federal laws and regulations to the sale of alcoholic beverages. Work is performed under the general direction of the ABC Board and is evaluated by the ABC Board through periodic conferences, written and verbal reports.

Illustrative Examples of Work:

Orders alcoholic beverages.
Checks the merchandise as it goes into inventory.
Conducts inventory of merchandise.
Checks prices and code numbers on merchandise.
Deposits daily cash receipts and purchases change.
Meets with distiller representatives to discuss new products and destroy unsaleable merchandise.
Interviews, hires, and trains new employees of the ABC Store.
Assigns work details to subordinates.
List and deletes items from inventory.
Monitors the store for shoplifters.
Confers with customers.
Issues public purchase - transportation permits.
Assists in maintaining the appearance of the ABC Store.
Performs related duties as required.

Knowledge, Skills, and Abilities:

Considerable knowledge of federal, state, and local laws pertaining to the sale of alcoholic beverages.
Considerable knowledge in all phases of retail store operations.
Considerable knowledge in inventorying, purchasing and merchandising products.
Ability to supervise and assign work to subordinates.
Ability to communicate effectively with the ABC Board and carry out their directions. Ability to meet the public and handle situations courteously and effectively.
Ability to maintain an effective working relationship with subordinates, board members, and state officials.

Desirable Training and Experience:

Completion of high school or the equivalent and considerable experience in retail sales and merchandising.

CHIEF STORE CLERK

General Statement of Duties:

Performs responsible cashiering and sales work in the ABC Store.

Distinguishing Features of the Class:

An employee in this class is responsible for the sale of alcoholic beverages to the public, operation of the cash register, preparation of daily reports, and restocking the shelves. Work also involves issuing transportation permits, making change, and making job assignments for the other clerks in the absence of the Store Manager. Employee must deal tactfully, courteously, and firmly with customer's inquiries, problems, and complaints. Independent judgement and initiative are required in applying all laws and regulations pertaining to the sale of alcoholic beverages. Work is performed in accordance with local ABC Board policies and the general administrative direction of the Store Manager. Work is evaluated through observation, review of daily reports, periodic discussions, and on the basis of overall sales.

Illustrative Examples of Work:

Sells merchandise to customers, operates cash register, prepares daily report, and checks to ensure that all prices and codes are correct.

Assists supervisor with warehouse inventory.

Assigns duties to the other clerks in the absence of supervisors.

Fills in for supervisor during vacation or illnesses.

Answers inquiries and resolves problems for customers; unusual questions or complaints are referred to the store manager-supervisor.

Assists in unloading new shipment of merchandise.

Assists customers in locating merchandise.

Assists in maintaining the appearance of the ABC Store.

Assists in maintaining the files.

Prepares reports for the ABC Board.

Performs related work as required.

Knowledge, Skills, and Abilities:

Working knowledge of basic principles and practices involved in retail store operations.

Working knowledge of local, state, and federal laws governing the sale of alcoholic beverages.

Some knowledge of basic stock and inventory control methods and procedures.

Skilled in operation of cash register.

Ability to maintain accurate records and reports.

Ability to deal tactfully, courteously, and firmly with customers.

Ability to act quickly, decisively and rationally in emergency situations.

Ability to maintain effective working relationships with superiors and other employees.

Desirable Experience and Training:

Completion of high school with some experience in retail operation.

STORE CLERK

General Statement of Duties:

Performs responsible cashiering and sales work in the ABC Store.

Distinguishing Features of the Class:

An employee in this class performs responsible cashiering and sales work in the selling of alcoholic beverages to customers. Work involves operating a cash register, preparing a daily report, and assisting in the restocking of shelves. Employee also assists in the unloading of new shipments and inventorying stock. Work requires tact, courtesy, and firmness in dealing with customer's inquiries, problems, and complaints. Some independent judgement and initiative are required in applying all laws and regulations involving the sale of alcoholic beverages. Work is performed in accordance with local ABC Board policies and the general directions of superiors. General supervision is received from supervisors, and work is evaluated through observation, review of daily reports, periodic discussions, and on the basis of overall sales.

Illustrative Examples of Work:

Sells merchandise to customers, operates cash register, and prepares daily reports. Answers inquiries and resolves problems for customers in a courteous and tactful manner; unusual questions or complaints are referred to the store supervisor.

Assists in maintaining the appearance of the ABC Store.

Assists in unloading new shipment of merchandise and assists in inventorying stock items.

Assists in placing new merchandise on shelves, and keeps assigned areas in order and dusted.

Responsible for maintenance and appearance of the ABC Store.

Performs related work as required.

Knowledge, Skills, and Abilities:

Working knowledge of basic principles and practices involved in retail store operations. Working knowledge of local, state and federal law governing the sale of alcoholic beverages.

Some knowledge of basic stock inventory control methods and procedures.

Skill in the operation of a cash register.

Ability to maintain accurate records and reports.

Ability to handle bulky or heavy stock items.

Ability to deal tactfully, courteously, and firmly with customers.

Ability to act quickly, decisively and rationally in emergency situations.

Ability to maintain effective working relationships with superiors and other employees.

Desirable Experience and Training:

Completion of high school and some experience in retail operations.

ACCOUNTANT*

General Statement of Duties:

Performs responsible administrative and (fiscal control) financial work for the ABC Board.

Distinguishing Features of the Class:

An employee in this class performs responsible administrative and fiscal control work in carrying out all accounting and related functions for the ABC Board. Work includes checking daily sales reports, disbursement of funds, maintenance of general ledger and cash journal, and preparation of various other reports. Work requires considerable independent judgement and initiative to insure that work is performed according to established procedures and in accordance with statutory requirements. Considerable tact, courtesy, and discretion are required in dealing with public officials, ABC Board and private accounting firms. General administrative direction is received from the ABC Board and work is evaluated in terms of conformity to local policy, adherence to accepted accounting procedures, and audits by certified public accountants.

Illustrative Examples of Work:

Responsible for administrative operations for the ABC Board.
Checks daily sales reports and records of all deposits.
Disburses ABC funds and pays distillers and other invoices.
Prepares payroll and maintains payroll records.
Pays all taxes pertaining to the sale of alcoholic beverages, payroll taxes for employees.
Prepares monthly and quarterly profit and loss statements.
Maintains a set of general accounting books which includes general ledgers, cash journals, and inventory control.
Prepares reports for the ABC Board.
Performs related duties as required.

Knowledge, Skills, and Abilities:

Considerable knowledge in modern double entry accounting methods and procedures, including doing profit and loss statements and balance sheets.
Considerable knowledge of all local, state and federal ABC laws and regulations. Knowledge of governmental withholding and retirement requirements.
Considerable knowledge of modern office methods and procedures.
Working knowledge of the overall operation of the ABC Board, including law enforcement, retail sales, and storage.
Ability to design and improve fiscal record system.
Ability to prepare analytical and interpretative financial reports.
Ability to present clear and concise oral or written reports to the ABC Board.
Ability to deal tactfully and courteously with public officials, accounting firms and the ABC Board.
Ability to maintain effective working relationship with other employees.

Desirable Experience and Training:

Experience in accounting or auditing work. Graduation from a four year college with major courses in accounting or business administration.

Local ABC System
Compensation and Benefits Survey
Please Return on or before December 1, 2009
To Laurie Lee, NC ABC Commission
4307 Mail Service Center, Raleigh NC, 27699

Name of ABC System Cramerton

ABC Employees

1. How many employees does your ABC system have? full-time 1 part-time 6
other _____

2. What are the names, titles, total annual compensation (salaries plus bonuses), benefits (410(k), health, retirement, other) and hire date for the 5 most highly paid employees of your system for the following periods:

Fiscal Year 2009 (July 1, 2008 – June 30, 2009)

NAME MIKE DICKSON TITLE MANAGER
SALARY\$ 35,037 BONUS \$ _____ BENEFITS Yes ☒ No ☐ HIRE DATE 10/06

NAME Teresa Rudisill TITLE CLERK
SALARY\$ 14,529 BONUS \$ _____ BENEFITS Yes ☐ No ☒ HIRE DATE 3/07

NAME Roger Armstrong TITLE CLERK
SALARY\$ 13,555 BONUS \$ _____ BENEFITS Yes ☐ No ☒ HIRE DATE 3/07

NAME Terri Sumner TITLE Clerk
SALARY\$ 12,956 BONUS \$ _____ BENEFITS Yes ☐ No ☒ HIRE DATE 6/07

NAME Gil Aguirre TITLE Bookkeeper
SALARY\$ 5984 BONUS \$ _____ BENEFITS Yes ☐ No ☒ HIRE DATE 3/07

Fiscal Year 2008 (July 1, 2007 – June 30, 2008)

NAME MIKE DICKSON TITLE MANAGER
SALARY\$ 35,954 BONUS \$ _____ BENEFITS Yes ☒ No ☐ HIRE DATE 10/06

NAME Teresa Rudisill TITLE Clerk
SALARY\$ 14,900 BONUS \$ _____ BENEFITS Yes ☐ No ☒ HIRE DATE 3/07

NAME Roger Armstrong TITLE Clerk
SALARY\$ 14,704 BONUS \$ _____ BENEFITS Yes ☐ No ☒ HIRE DATE 3/07

NAME Wanda Jones TITLE Clerk
SALARY\$ 8,533 BONUS \$ _____ BENEFITS Yes ☐ No ☒ HIRE DATE 3/07

NAME Gil Aguirre TITLE Bookkeeper
SALARY\$ 5463 BONUS \$ _____ BENEFITS Yes ☐ No ☒ HIRE DATE 3/07

Fiscal Year 2007 (July 1, 2006 – June 30, 2007)

NAME MIKE DICKSON TITLE MANAGER
SALARY\$ 20,925 BONUS \$ _____ BENEFITS Yes ☒ No ☐ HIRE DATE 10/06

NAME Teresa Rudisill TITLE Clerk
SALARY\$ 3,910 BONUS \$ _____ BENEFITS Yes ☐ No ☒ HIRE DATE 3/07

NAME	Roger Armstrong	TITLE	Clerk
SALARY\$	3484	BONUS\$	
		BENEFITS	Yes No
		HIRE DATE	3/07
NAME	Wanda Jones	TITLE	Clerk
SALARY\$	1900	BONUS\$	
		BENEFITS	Yes No
		HIRE DATE	3/07
NAME	Gil Aguirre	TITLE	Bookkeeper
SALARY\$	1498	BONUS\$	
		BENEFITS	Yes No
		HIRE DATE	3/07

3. Please attach a list of the benefits you pay to your 5 highest paid employees.
4. List the names of your board members and their annual board compensation for Fiscal Year 2009.

Year 2009
Sam Carpenter, Mark Wilks, Carolyn Helms
\$2400 each -

Fiscal Year 2008

Fiscal Year 2008
Sam Carpenter, Mark Wilks, Carolyn Helms
\$2400 per year

Fiscal Year 2007

Fiscal Year 2007	
Barry Smith \$750.00	Sam Carpenter 900.00
Carolyn Helms \$900.00	Mark Wilks \$300.00

5. Do your board members receive insurance or retirement benefits? Yes ___ No ☒ If yes, what are they? _____
6. Do your board members receive other compensation for their service? Yes ___ No ☒ If so, what? _____
7. Do you have a travel policy for board members/employees? Yes ___ No ☒ If yes, when was it instituted? _____ Please attach a copy. *Board ok's all Travel*
8. Do you have an ethics policy in place for board members/employees? Yes ☒ No ___ If yes, when was it instituted? *2007* Please attach a copy.
9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes ☒ No ___
10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes ___ No ☒
11. Do you have a nepotism policy in place for board members/employees? Yes ___ No ☒ If yes, when was it instituted? _____ Please attach a copy.
12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes ___ No ☒ If yes, when was it instituted? _____ Please attach a copy. *Board meets and decides in Oct or Nov of ea*
13. Do you pay a car allowance for board members/employees? Yes ___ No ☒ If so, how much is it per year total and who receives it? _____

14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? \$ 4122

Submitted by Name Carolyn Nelson Title: Board Members Date: 11-25-09
Mark Wilby

Local ABC System
Compensation and Benefits Survey
Please Return on or before December 1, 2009
To Laurie Lee, NC ABC Commission
4307 Mail Service Center, Raleigh NC, 27699

RECEIVED

NOV 30 2009

NC ABC COMMISSION

Name of ABC System Craven County ABC Board

ABC Employees

1. How many employees does your ABC system have? full-time 16 part-time 20
other 2

2. What are the names, titles, total annual compensation (salaries plus bonuses), benefits (410(k), health, retirement, other) and hire date for the 5 most highly paid employees of your system for the following periods:

Fiscal Year 2009 (July 1, 2008 – June 30, 2009)

NAME Donna Rouse TITLE General Manager
SALARY\$ 55345 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 4/1/1985

NAME Joshua Toler TITLE Store Manager
SALARY\$ 40254 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 2/18/1982

NAME Esther Patterson TITLE Office Manager
SALARY\$ 45678 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 2/26/2001

NAME Anita Taylor TITLE Store Manager
SALARY\$ 31484 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 4/15/1991

NAME Denise Turnage TITLE Store Manager
SALARY\$ 33009 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 11/12/1991

Fiscal Year 2008 (July 1, 2007 – June 30, 2008)

NAME Ray Hemphill TITLE General Manager
SALARY\$ 51994 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 10/10/1988

NAME Donna Rouse TITLE Asst General Manager
SALARY\$ 44104 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 4/1/1985

NAME Joshua Toler TITLE Store Manager
SALARY\$ 39022 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 2/18/1982

NAME Esther Patterson TITLE Asst Office Manager
SALARY\$ 35684 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 2/26/2001

NAME Anita Taylor TITLE Store Manager
SALARY\$ 31753 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 4/15/1991

Fiscal Year 2007 (July 1, 2006 – June 30, 2007)

NAME Ray Hemphill TITLE General Manager
SALARY\$ 48114 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 10/10/1988

NAME Donna Rouse TITLE Office Manager
SALARY\$ 39718 BONUS \$ BENEFITS Yes ☒ No ☐ HIRE DATE 4/1/1985

NAME Joshua Toler TITLE Store Manager
SALARY\$ 37082 BONUS\$ BENEFITS Yes ☒ No ☐ HIRE DATE 2/18/1982

NAME Esther Patterson TITLE Office Clerk
SALARY\$ 30849 BONUS\$ BENEFITS Yes ☒ No ☐ HIRE DATE 2/26/2001

NAME Anita Taylor TITLE Store Manager
SALARY\$ 30525 BONUS\$ BENEFITS Yes ☒ No ☐ HIRE DATE 4/15/1991

3. Please attach a list of the benefits you pay to your 5 highest paid employees.
4. List the names of your board members and their annual board compensation for Fiscal Year 2009
- | | | | |
|-----------------|--------|----------------|--------|
| Jimmie Whitford | \$3718 | Paul Sarsfield | \$2470 |
| John Brazelton | \$2470 | | |
- Fiscal Year 2008
- | | | | |
|-----------------|--------|------------------|--------|
| Jimmie Whitford | \$2470 | William Brinkley | \$3718 |
| John Brazelton | \$2470 | | |
- Fiscal Year 2007
- | | | | |
|-----------------|--------|------------------|--------|
| Jimmie Whitford | \$2541 | William Brinkley | \$3839 |
| John Brazelton | \$2541 | | |
5. Do your board members receive insurance or retirement benefits? Yes ☒ No ☐ If yes, what are they? Insurance
6. Do your board members receive other compensation for their service Yes ☐ No ☒ If so, what? _____
7. Do you have a travel policy for board members/employees? Yes ☒ No ☐ If yes, when was it instituted? 1996 Please attach a copy.
8. Do you have an ethics policy in place for board members/employees? Yes ☒ No ☐ If yes, when was it instituted? 1996 Please attach a copy.
9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes ☒ No ☐
10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes ☐ No ☒
11. Do you have a nepotism policy in place for board members/employees? Yes ☒ No ☐ If yes, when was it instituted? 1996 Please attach a copy.
12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes ☐ No ☒ If yes, when was it instituted? _____ Please attach a copy.
13. Do you pay a car allowance for board members/employees? Yes ☐ No ☒ If so, how much is it per year total and who receives it? _____
14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? \$ 8,651.86
- Submitted by Name Donna Bouse Title: General Mgr. Date: 11-24-09

Employment of Relatives

The Board permits the employment of qualified relatives of employees as long as such employment does not, in the opinion the Board, create actual or perceived conflicts of interest. A manager should not supervise a relative. Relatives are not to be given preferential treatment in the hiring process.

Dual Employment

Employees who seek employment outside normal working hours are required to obtain prior approval in writing from the General Manager. Such prior approval shall not be unreasonably withheld. The outside employment must not interfere with the employee's expected job performance for their position and the employment must not conflict with the Board's goals and philosophy.

Travel Policy as of April 18, 2000

The purpose of this policy is to establish procedures for authorization and reimbursement of travel expenses by Employees and Board Members who are conducting ABC Board official business.

The Craven County ABC Board authorizes reimbursement for travel incurred as a function of ABC Board official business. A travel reimbursement form is available at the main office. It is imperative that this form reflect accurate information and be receipt supported. The following is a list that includes bonafide travel expense categories:

1. While travel expenses from an employee's home to their normal place of work is not a reimbursable expense, an employee who is requested to incur additional mileage, in the course of ABC Board business, will be reimbursed at the current IRS mileage rate.
2. While conducting Board business, all other bonafide travel by Employees or Board Members using personal vehicles will be reimbursed as outlined in (A) above, with regard to local Board business, travel to conventions and conferences.
3. While conducting Board business, all lodging costs will be paid or reimbursement made by the Board as long as the employee/official has incurred such costs and is receipt supported.
4. While conducting Board business, all reasonable costs for meals will be paid or reimbursed by the Board as long as the employee/official has incurred such costs and is receipt supported.
5. Commercial costs of travel such as bus, train, rental car, or aircraft, while conducting Board business, will be reimbursed providing such costs are incurred and be receipt supported.
6. Travel Advances: Travel advances represent a payment of ABC Board funds to an employee or official for travel costs which have not yet been incurred. Advances should not be used as an interest free loan to employees or officials. However, the employee or official of the Board should not be expected to endure a financial hardship, even for a short period of time, in order to conduct the Board's business. Advances will be made in consideration of the amount of expected travel costs. If advances exceed the actual costs, repayment to the Board should be made within 5 days of travel completion. Either the General Manager or the Board Chairman may approve travel advances.

Disciplinary Action or Dismissal

All employees are expected to meet the Board's standards of work performance. Work performance encompasses many factors, including, but not limited to, personal conduct, attendance, job proficiency and compliance with the Board's policies and procedures.

If an employee does not meet these standards, the Board may, under appropriate circumstances, take corrective action. This action may include, but is not limited to, the following:

Gifts and Favors

No Board employee is permitted to accept any valuable gift, whether in the form of entertainment, products, money, services, loans, or promise from any person, firm or corporation that has or anticipates a direct or indirect business interest with the Board. No Board employee is permitted, in the discharge of their duties to grant any improper favor, service, or gift.

Inclement Weather

To fulfill Board's obligations to the public, it is the Store Manager's responsibility to ensure that his/her store is open during recognized business hours. It is not Board policy to delay opening, close early or close all day in the event of snow or other adverse weather. All absences or tardiness caused by inclement weather should be charged to vacation leave or leave without pay. Use of leave without pay during inclement weather is subject to the approval of the General Manager.

Although every effort will be made for stores to remain open for the full scheduled work period, employees who anticipate problems with transportation will be permitted to use leave privileges as listed above.

Personal Use of Telephone

Board phones are meant for business purposes. Personal use of business telephones must be kept to a minimum. Employees will reimburse the agency for long distance telephone calls made for personal reasons.

Dress Guidelines

Board employees are to dress appropriately for the job they are assigned to do. Good judgment is to be used so that employees present a professional image to the public. At no time are employees allowed to wear revealing or provocative, soiled or torn clothing. Store Managers will deal with inappropriate dress as a supervisory issue, subject to disciplinary action as necessary. If you are unsure about what dress is appropriate, talk to your Store Manager.

Solicitations, Distributions, and Use of Bulletin Boards

Employees may not solicit any other employee during working time, nor may employees distribute literature in work areas at any time. Under no circumstances may an employee disturb the work of others to solicit or distribute literature to them during their working time. Persons not employed by the Board may not solicit Board employees for any purposes on Board premises.

Bulletin Boards

Bulletin boards maintained by the Board are to be used only for posting or distributing material of the following nature:

- notices containing matters directly concerning Board business;
- announcements of a business nature which are equally applicable and of interest to employees.

All posted material must have authorization from the General Manager. All employees are expected to check these bulletin boards periodically for new and/or updated information and to follow the rules set forth in all posted notices. Employees are not to remove material from the bulletin boards.

Termination: An employee may be terminated from employment as the first or last disciplinary step.

Employee Warning: An employee may receive a verbal or written warning from his/her Store Manager or General Manager to rectify behavior which requires disciplinary action.

Any form of written discipline must be signed by the employee and placed in their personnel file.

Listed below are some of the causes of disciplinary action or dismissal. Due to circumstance beyond the control of policy change, the range and types of disciplinary actions may not be all-inclusive. Disciplinary actions are not required to be taken together or in any particular order. This will provide the Board flexibility to administer disciplinary action according to factors such as severity of the violation, the repetitive nature of the violation, the particular circumstances surrounding the violation, and the frequency of the current or previous violation.

The Board reserves the right to terminate employees, with or without notice, at any time for any reason that does not violate local, state, or federal laws.

Performance of duties:

- Habitual or improper use of sick leave
- Absence without prior authorization / unexcused absence / habitual tardiness Inefficiency, incompetence, or negligence
- Careless, reckless, or improper use of ABC property
- Failure to work well with the public or fellow employees
- Failure to comply with the provision/policy of the Employee Handbook and/or memoranda
- Refusal to accept a reasonable and proper assignment and/or direction from an authorized supervisor
- Reporting for work in violation of the drug and alcohol policy
- Any act to disrupt the normal operation of the ABC Board

Personal Conduct:

- Misuse of ABC Board funds
- Willful damage to persons or property
- Conviction of a felony (misdemeanor if ABC law or rule related)
- Illegal or immoral conduct
- Gross misconduct unbecoming of an ABC employee
- Falsified information or documentation
- Consumption of alcohol on ABC property
- Acceptance of gifts in exchange for 'favors' or 'influence'
- Engaging in incompatible employment or serving a conflict of interest
- Unauthorized release of confidential information
- Trespassing on the property of any ABC official or employee for the purpose of harassing or forcing discussion

We deal with a controlled substance and we handle tax dollars! The Craven County ABC Board is a quasi-governmental corporate entity of the State of North Carolina that has been granted legal authority to buy and sell beverage alcohol. Beverage alcohol is considered a controlled substance. The ABC Board is constantly in the public eye and has an ever demanding responsibility to properly conduct business and to provide public funds for local government as well as for the state and federal government. The employees of the ABC Board are scrutinized by the public and must maintain a demeanor of professional behavior that is above reproach. Any misconduct or disgrace to the ABC system caused by any employee may well be reason to use the term: conduct "unbecoming" of an ABC employee.

CRAVEN COUNTY ABC BOARD

P. O. Box 12991
New Bern, NC 28561

Billy Whitford Jr., Chairman
Paul Sarsfield, Secretary

John T. Brazelton, Vice Chairman
Donna P. Rouse, General Manager

Craven County Board Benefits (Full Time Employees Only)

Paid Vacation
Sick Leave
Holidays
Medical Insurance
401K
State Retirement
December Extra Work Compensation
Longevity